



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

Confirmation No. 4002

HAYNES et al

Atty. Ref.: 1579-548

Serial No. 09/775,805

Group: 1648

Filed: February 5, 2001

Examiner: Stucker, J.

For: HUMAN IMMUNODEFICIENCY VIRUS VACCINE

\* \* \* \* \*

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

November 7, 2003

Sir:

**INFORMATION DISCLOSURE STATEMENT**

- ☒ 1. **PTO-1449 Pursuant to 37 CFR 1.97(b)**  
[within 3 months of filing or prior to 1st Office Action on the merits]  
N/C
- ☐ 2.(a) **Statement Pursuant to 37 CFR 1.97(c)**  
[before Final Office Action or Allowance (requires Rule 97(e)  
Statement or Rule 17(p) fee)]  
N/C
- ☐ 2.(b) **Fee Payment Pursuant to 37 CFR 1.97(c)**  
[before Final Office Action or Allowance (requires Rule 97(e)  
Statement or Rule 17(p) fee)]  
\$180.00
- ☐ 3. **Pursuant to 37 CFR 1.97(d)**  
[after Final Office Action or Allowance (requires Rule 97(e)  
Statement and Rule 17(p) fee), but before final fee payment]  
\$180.00

The following are submitted in the above-identified application in compliance with  
37 C.F.R. §§ 1.97 and 1.98:

- ☒ 4. A list of documents on Form PTO-1449 together with copies of each  
identified document and a translation or a concise explanation of  
each non-English language document (such as a Search Report) is  
enclosed herewith.

This paper is submitted in accordance with:

- ☒ 5. 37 CFR 1.97(b): [within 3 months of filing or prior to 1st Office Action]
- ☐ 6. 37 CFR 1.97(c): [before Final Office Action or Allowance, whichever is earlier]; and
  - ☐ a) The required Statement made in item 8 below; or
  - ☐ b) The \$180.00 fee specified in 37 CFR §1.17(p) for submission of this Information Disclosure Statement is authorized in item 9 below.
- ☐ 7. 37 CFR §1.97(d): [after Final Office Action or Allowance (requires Rule 97(e) Statement and Rule 17(p) fee), but before final fee payment]; and
  - ☐ a) The fee (\$180.00) required by 37 CFR §1.17(p) is submitted herewith; and
  - ☐ b) The required Statement is stated in item 8 below.
- ☐ 8. Statement under 37 CFR 1.97(e)
  - ☐ a) The undersigned attorney of record hereby certifies under 37 C.F.R. §1.97(e) that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement (each item contained in this IDS was the first citation of that item by a foreign patent office in a counterpart foreign application which occurred no more than three months prior to the filing of this IDS); or
  - ☐ b) No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement, after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.
- ☒ 9. Please charge all deficiency fees associated with the submission of this Information Disclosure Statement and any other fees applicable to this application to Deposit Account No. 14-1140. An original and one (1) copy of this document are enclosed.

HAYNES et al  
Serial No. 09/775,805  
November 7, 2003

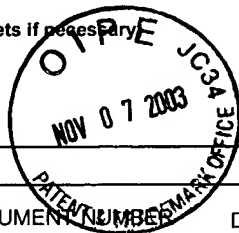
Respectfully submitted,  
NIXON & VANDERHYE P.C.

By: Mary J. Wilson  
Mary J. Wilson  
Reg. No. 32,955

1100 North Glebe Road, 8th Floor  
Arlington, VA 22201-4714  
Telephone: (703) 816-4000  
Facsimile: (703) 816-4100

**INFORMATION DISCLOSURE  
CITATION**

(Use several sheets if necessary)



Atty. Docket No.

Serial No.

**1579-548****09/775,805**

Applicant

**HAYNES et al**

Filing Date

Group

**February 5, 2001****1648**
**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,030,449	7/1991	Berzofsky et al			
	5,853,978	12/1998	Berman et al			
	5,864,027	1/1999	Berman			
	5,932,218	8/1999	Berzofsky et al			
	5,939,074	8/1999	Berzofsky et al			
	6,042,836	3/2000	Berman et al			
	6,290,963	9/2001	Fischinger et al			
	6,294,322	9/2001	Berzofsky et al			
	6,458,527	10/2002	Luciw et al			
	5,081,226	1/1992	Berzofsky et al			
	5,336,758	8/1994	Berzofsky et al			
	5,622,703	4/1997	Berzofsky et al			
	5,695,762	12/1997	Berzofsky et al			
	5,711,947	1/1998	Berzofsky et al			
	5,820,865	10/1998	Berzofsky et al			
	5,882,853	3/1999	Berzofsky et al			
	5,976,541	11/1999	Berzofsky et al			
	5,980,899	11/1999	Berzofsky et al			
	5,997,869	12/1999	Goletz et al			
	6,214,347	4/2001	Berzofsky et al			
	6,592,872	7/2003	Klimpel et al			

**FOREIGN PATENT DOCUMENTS**

ENGLISH ABSTRACT

DOCUMENT	DATE	COUNTRY	CLASS	SUBCLASS	YES	NO
WO 93/04697	3/1993	WIPO				
WO 94/26785	11/1994	WIPO				
WO 94/28929	12/1994	WIPO				
WO 94/29339	12/1994	WIPO				
WO 98/01564	1/1998	WIPO				
WO 02/08716	1/2002	WIPO			X	
WO 2002/20554	3/2002	WIPO				

**OTHER DOCUMENTS (including Author, Title, Date, Pertinent pages, etc.)**

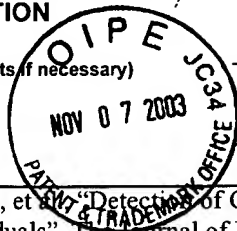
	Ahlers, et al., "Construction of an HIV-1 Peptide Vaccine Containing a Multideterminant Helper Peptide Linked to a V3 Loop Peptide 18 Inducing Strong Neutralizing Antibody Responses in Mice of Multiple MHC Haplotypes After Two Immunizations", The Journal of Immunology, Vol. 150, No. 12, pp. 5647-5665 (1993)
	Ahlers, et al., "Candidate HIV Type 1 Multideterminant Cluster Peptide-P18MN Vaccine Constructs Elicit Type 1 Helper T Cells, Cytotoxic T Cells, and Neutralizing Antibody, All Using the Same Adjuvant Immunization", AIDS Research and Human Retroviruses, Vol. 12, Number 4, pp. 259-272 (1996)
	Berzofsky, et al., "Antigenic Peptides Recognized by T lymphocytes from AIDS Viral Envelope-Immune Humans", Nature, Vol. 334, pp. 706-708 (1988)

*Examiner	Date Considered
-----------	-----------------

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application.

INFORMATION DISCLOSURE  
CITATION

(Use several sheets if necessary)



Atty. Dock # No.

Serial No.

1579-548

09/775,805

Applicant

HAYNES et al

Filing Date

Group

February 5, 2001

1648

	Clerici, et al., "Detection of Cytotoxic T Lymphocytes Specific for Synthetic Peptides of gp160 in HIV-Seropositive Individuals", The Journal of Immunology, Vol. 146, No. 7, pp. 2214-2219 (1991)
	Hart, et al., "Priming of an Anti-Human Immunodeficiency Virus (HIV) CD8 <sup>+</sup> Cytotoxic T Cells <i>In Vivo</i> by Carrier-Free HIV Synthetic Peptides", Proc. Natl. Acad. Sci. USA, Vol. 88, pp. 9448-9452 (1991)
	Haynes, et al., "Conversion of an Immunogenic Human Immunodeficiency Virus (HIV) Envelope Synthetic Peptide to a Tolerogen in Chimpanzees by the Fusogenic Domain of HIV gp41 Envelope Protein", The Journal of Experimental Medicine, Vol. 177, pp. 717-727 (1993)
	Haynes, et al., "Induction of HIVMN Neutralizing Antibodies in Primates Using a Prime-Boost Regimen of Hybrid Synthetic gp120 Envelope Peptides", The Journal of Immunology, Vol. 151, No. 3, pp. 1646-1653 (1993)
	Hosmalin, et al., "Priming with T Helper Cell Epitope Peptides Enhances the Antibody Response to the Envelope Glycoprotein of HIV-1 in Primates", The Journal of Immunology, Vol. 146, No. 5, pp. 1667-1673 (1991)
	Liao, et al., "Increased Immunogenicity of HIV Envelope Subunit Complexed with $\alpha_2$ -Macroglobulin When Combined with Monophosphoryl Lipid A and GM-CSF", Vaccine, Vol. 20, pp. 2396-2403 (2002)
	Shirai, et al., "Broad Recognition of Cytotoxic T Cell Epitopes from the HIV-1 Envelope Protein with Multiple Class I Histocompatibility Molecules", The Journal of Immunology, Vol. 148, No. 6, pp. 1657-1667 (1992)

\*Examiner

Date Considered

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application.